

**PART III**  
**LIST OF DOCUMENTS, EXHIBITS, AND OTHER ATTACHMENTS**

**SECTION J - LIST OF ATTACHMENTS**

**Appendix A - Personnel Costs and Related Expenses**

**Appendix B - Key Personnel**

**Appendix C - Performance Guarantee Agreement**

**Appendix D - Annual Cost Estimate**

**Appendix E - Laws, Regulations, and DOE Directives**

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**Appendix F - Special Financial Institution Account Agreement**

**Appendix G - Corporate Citizenship**

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**APPENDIX A**  
**PERSONNEL COSTS AND RELATED EXPENSES**

(TO BE NEGOTIATED AFTER CONTRACT AWARD)

The personnel appendix required by the clause in Section I entitled, “Allowable Costs and Fixed-Fee,” will be Appendix A of the contract.

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**APPENDIX B**  
**KEY PERSONNEL**

See the clause in Section I entitled, "Key Personnel."

1. Chief Executive Officer, UT-Battelle, LLC	William J. Madia
2. Laboratory Director, ORNL	William J. Madia
3. Executive Director, SNS Project	David Moncton
4. Deputy Director, Science & Technology	Lee Riedinger
5. Deputy Director, Operations	Jeff Smith
6. Associate Lab Director, Physical and Computational Sciences	James Roberto
7. Associate Lab Director, Biological and Environmental Sciences	W. Franklin Harris
8. Associate Lab Director, Energy and Engineering Technology	Ralph Gilliland
9. Associate Lab Director, National Security	Frank Akers
10. Director, Facilities and Operations	Herbert Debban
11. Director, ESH&Q	Kelly Beierschmitt
12. Director, Human Resources and Diversity Programs	Darryl Boykins
13. Director, Technology Transfer and Economic Development	Janis Haerer
14. General Counsel	Steven Porter
15. Chief Financial Officer	Gregory Turner
16. Director, Community Outreach and Communication	Billy Stair

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**APPENDIX C**  
**PERFORMANCE GUARANTEE AGREEMENT**

Attached to this Appendix C are the Performance Guarantee Agreements executed on behalf of the University of Tennessee by Joseph E. Johnson, President, on July 12, 1999 and on behalf of Battelle Memorial Institute by Dr. Douglas E. Olesen, President and Chief Executive Officer, on July 21, 1999.

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**APPENDIX D**  
**ANNUAL COST ESTIMATE**

(The annual cost estimate will be added after award, and thereafter on an annual basis, consistent with the provisions of the clause in Section H entitled, “Work Authorization System.”)

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**APPENDIX E**  
**LAWS, REGULATIONS, AND DOE DIRECTIVES**

List A - List of Applicable Laws and Regulations

Executive Order 13101, GREENING THE GOVERNMENT THROUGH WASTE PREVENTION, RECYCLING, AND FEDERAL ACQUISITION

(NOTE: Executive Orders can be found at the following Internet address:  
<http://library.whitehouse.gov/?request=ExecutiveOrder>)

List B - List of Applicable Directives

<b>DOE Directives</b> <b>DOE Directives can be found at the following Internet address:</b> <a href="http://www.explorer.doe.gov:1776/htmls/directives.html">http://www.explorer.doe.gov:1776/htmls/directives.html</a>				
<b>Required Compliance</b>	<b>Through Change</b>	<b>Title</b>	<b>Date</b>	<b>Note</b>
DOE O 130.1		Budget Formulation Process 9/29/95 and DOE Accounting Practices and Procedures Handbook (APPH), Chapter X, Product Cost Accounting	6/30/80	
DOE O 137.1		Plan for Operating in the Event of a Lapse in Appropriations	9-4-98	
DOE M 140.1-1		Manual for DOE Interface with the Defense Nuclear Facilities Safety Board	12-30-96	
DOE O 200.1		Information Management Program	9-30-96	
DOE M 200.1-1 Except Chapter 7		Telecommunications Security Manual	3-97	
DOE O 224.1		Contractor Performance Based Business Management Process	12-8-97	
DOE O 241.1		Scientific and Technical Information Management	8-17-98	
DOE O 251.1A		Directives System	1-30-98	
DOE M 251.1-1A		Directives System Manual	1-30-98	
DOE O 311.1A		Equal Employment Opportunity and Diversity Program	12-30-96	
DOE O 350.1	1 5-8-98	Contractor Human Resource Management Program	9-30-96	
DOE N 350.3		Use of Management and Operating Contractor and National Laboratory Employees for Services in the Washington, D.C. Area	3-5-97	
DOE N 350.4		Extension of DOE N 350.3, Use of Management and Operating Contractor and National Laboratory Employees for Services in the Washington, D.C. Area	2-26-98	

<p style="text-align: center;"><b>DOE Directives</b></p> <p style="text-align: center;">DOE Directives can be found at the following Internet address:  <a href="http://www.explorer.doe.gov:1776/htmls/directives.html">http://www.explorer.doe.gov:1776/htmls/directives.html</a> </p>				
Required Compliance	Through Change	Title	Date	Note
DOE O 413.1		Management Control Program  Compliance: Implementation is in accordance with DOE (Cumesty) letter dated 7-8-97, and LMER (Rhude) letter dated 9-26-97	12-6-95	
DOE O 413.2		Laboratory Directed Research and Development	3-5-97	
DOE 430.1	1 10-26-95	Life Cycle Management	8-24-95	
DOE 430.2		In-House Energy Management  Compliance: Implementation is in accordance with an implementation plan approved by DOE on 7-28-97.	6-13-96	
DOE O 440.1a		Workforce Protection Management for DOE Federal and Contractor Employees	3-27-98	
DOE M 450.3-1		The DOE Closure Process for Necessary and Sufficient Sets of Standards	1-25-96	
DOE O 470.1	1 6-21-96	Safeguards and Security Program	9-28-95	
DOE O 471.1		Identification and Protection of Unclassified Controlled Nuclear Information	9-25-95	
DOE O 471.2A		Information Security Program  Compliance: Implementation is in accordance with an implementation plan approved by DOE on 10-8-97.	3-27-97	
DOE M 471.2-1A		Manual for Classified Matter Protection and Control	1-9-98	
DOE O 472.1B		Personnel Security Activities	3-24-97	
DOE M 472.1-1		Personnel Security Program Manual	5-22-98	
DOE M 473.2-1	1 8-21-97	Firearms Qualification Courses Manual	7-8-97	
DOE M 475.1-1		Identifying Classified Information	5-8-98	
DOE O 481.1		Work for Others (Non-Department of Energy Funded Work)	9-30-96	
DOE M 481.1-1		Reimbursable Work for Non-Federal Sponsors Process Manual	9-30-96	
DOE O 534.1		Accounting	9-29-95	
DOE M 551.1-1		International Trips	7-31-96	
DOE 1240.2B	1 9-3-92	Unclassified Visits & Assignments by Foreign Nationals	8-21-92	
DOE 1270.2B		Safeguards Agreement with the International Atomic Energy Agency (IAEA)	6-23-92	1
DOE 1300..3		Policy on the Protection of Human Subjects	8-23-90	

<p style="text-align: center;"><b>DOE Directives</b></p> <p style="text-align: center;">DOE Directives can be found at the following Internet address:  <a href="http://www.explorer.doe.gov:1776/htmls/directives.html">http://www.explorer.doe.gov:1776/htmls/directives.html</a> </p>				
Required Compliance	Through Change	Title	Date	Note
DOE 1340.1B		Management of Public Communications and Scientific, Technical, and Engineering Publications  Compliance: Implementation is in accordance with an implementation plan approved by DOE on 7-5-95.	1-7-93	
DOE 1350.1	1 3-26-84	Audio Visual and Exhibits Management	10-28-81	
DOE 1360.2B		Unclassified Computer Security Program	5-18-92	
DOE 1450.4		Consensual Listening-in To or Recording Telephone-Radio Conversations	11-12-92	
DOE 1500.3	7 7-6-94	Foreign Travel Authorization  Compliance: Implementation is in accordance with DOE letter for Martha Krebs, Director, Office of Energy Research, dated 5-24-94.	11-10-86	
DOE 2030.4B		Reporting Fraud, Waste, and Abuse	5-18-92	
DOE 2100.8A		Cost Accounting, Cost Recovery, and Interagency Sharing of Information Technology Facilities	1-27-93	
DOE 2110.1A	2 5-18-92	Pricing of Departmental Materials and Services, as amended by the Chief Financial Officer's October 29, 1998, memorandum, "Guidance to Implement National Defense Authorization Act for Fiscal Year 1999 Direction on Federal Administrative Charges"  Compliance: Change 2 of the Order failed to incorporate interim guidance, "Policy on Waiver of DOE's Added Factor and Depreciation." Subsequent clarification from ORO confirmed the need to continue following this interim guidance.  Compliance: Implementation will be in accordance with DOE-ORO letter from J. R. Martin, Director, Finance Division, dated 8-3-94, regarding the application of the departmental added factor (DAF) based on the source of funds. Effective 8-3-94, the DAF rate will be applied to any work performed for a non-Federal entity (as opposed to full cost factor and depreciation normally applied to private work) if the work is financed from another Federal entity. Written documentation should be provided from the non-Federal entity or the other Federal agency. This change in policy applies only to new work.  Compliance: Implementation will be in accordance with DOE memorandum from Elizabeth E. Smedley, Controller, dated 8-25-94, regarding the waiver of the added factor and depreciation for small businesses and nonprofit organizations participating in funds-in agreement, effective 10-1-94. This waiver is valid for one year, through 9-30-95.	7-14-88	
DOE 2300.1B		Audit Resolution and Follow-up	6-8-92	
DOE 2320.1C		Cooperation with the Office of Inspector General	5-18-92	
DOE 2320.2B		Establishment of Department Position on Inspector General Reports	5-18-92	1
DOE 2321.1B		Auditing of Programs and Operations	5-14-92	1
DOE 2340.1C		Coordination of General Accounting Office Activities	6-8-92	1

<p style="text-align: center;"><b>DOE Directives</b></p> <p style="text-align: center;">DOE Directives can be found at the following Internet address:  <a href="http://www.explorer.doe.gov:1776/htmls/directives.html">http://www.explorer.doe.gov:1776/htmls/directives.html</a> </p>				
Required Compliance	Through Change	Title	Date	Note
DOE 5480.29		Employee Concerns Management System	1-15-93	
DOE 5560.1A		Priorities and Allocations Program	5-8-85	
DOE 5630.12A		Safeguards and Security Inspection and Assessment Program	6-23-92	
DOE 5632.1C		Protection and Control of Safeguards and Security Interests	7-15-94	
DOE M 5632.1C		Manual for Protection and Control of Safeguards and Security Interests	7-15-94	DOE M 5632.1C-1, Chapter XI, canceled by DOE O 470.1. DOE M 5632.1C-1, Chapter III paragraphs 1, 2, and 4 thru 9, canceled by DOE O 471.2.
DOE 5632.7A		Protective Force Program  Compliance: Implementation is in accordance with an Implementation plan accepted by DOE on 7-24-94.	4-13-94	
DOE 5633.3B		Control and Accountability of Nuclear Materials  Compliance: Implementation plan is in accordance with an implementation plan accepted by DOE on 7-28-95.	9-7-94	
DOE M 5639.6A-1		Manual of Requirements for the Classified Automated Information Systems Security Program  Compliance: Implementation is in accordance with an implementation plan approved by DOE on 11-15-95.	7-15-94	
DOE 5639.8A		Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities	7-23-93	
DOE 5660.1B		Management of Nuclear Materials	5-26-94	
DOE 5670.1A		Management and Control of Foreign Intelligence  Compliance: Implementation is in accordance with MMES letter No. AE92-044 dated 06-10-92.	1-15-92	
DOE 5700.7C		Work Authorization System	5-18-92	
SEN-34-91	1	Implementation of the Chief Financial Officers Act of 1990	8-15-91	
NOTICE 1240.2		Unclassified Foreign National (DOE) Visits and Assignments This Notice expires on 11-29-94 unless otherwise directed.	11-29-93	
NOTICE 1240.3		Extension of DOE N 1240.2. This Notice expires on 5-29-95 unless otherwise directed.	11-29-94	

<p style="text-align: center;"><b>ORO Directives</b></p> <p style="text-align: center;">ORO Directives can be found at the following Internet address:  <a href="http://www.ornl.gov/doe_oro_dmg/index.htm">http://www.ornl.gov/doe_oro_dmg/index.htm</a> </p>				
<b>Required Compliance</b>	<b>Through Change</b>	<b>Title</b>	<b>Date</b>	<b>Note</b>
ORO O 130 Chapter II	1 5-15-98	<b>BUDGET</b> Shutdown of Department Operations Upon Failure of Congress to Enact Appropriations	5-15-96	
ORO O 140 Chapter II	1 5-15-98	<b>EXTERNAL RELATIONSHIPS</b> Safeguards Agreement with the International Atomic Energy Agency (IAEA)	5-15-96	
ORO O 220 Chapter I  Chapter II Chapter III  Chapter IV  Chapter V Chapter VII  Chapter IX	1 7-28-98  1 7-28-98  1 7-28-98  1 7-28-98	<b>ASSESSMENTS</b> Reporting Fraud, Waste, and Abuse to the Office of Inspector General Cooperation with the Office of Inspector General Establishment of Department Position on Inspector General Reports Coordination of General Accounting Office Activities  Appraisal of DOE Contractor Performance Audit Resolution and Follow-Up  Auditing of Programs and Operations	5-31-96  9-30-96 5-31-96  5-31-96 9-30-96 5-31-96  9-30-96	
ORO O 240 Chapter I		<b>INFORMATION MANAGEMENT</b> Scientific and Technical Information Management	5-31-96	
ORO O 250 Chapter I  Chapter II  Chapter III Chapter IV Chapter V Chapter VI Chapter VII	1 6-3-98	<b>STANDARDS MANAGEMENT</b> Oak Ridge Operations Standards Management Program Overview  Oak Ridge Directives Standards System  Oak Ridge Operations Technical Standards Program Contractor Directives Appendix Development, Approval, and Maintenance of Smart Standards Implementation and Corrective Action Plans Maintenance of Standards/Requirements Identification Documents	  3-27-98  3-27-98 3-27-98 3-27-98 3-27-98 3-27-98	  2    2
ORO O 350 Chapter III Chapter VI	1 9-30-98	<b>CONTRACTOR HUMAN RESOURCE PROGRAMS</b> Federal Labor Standards Workplace Substance Abuse Programs at Oak Ridge Sites	5-31-96 6-28-96	
ORO O 410 Chapter I Chapter II	1 9-21-98	<b>MANAGEMENT</b> Work Authorization System Management of Nuclear Materials	9-24-96 5-31-96	
ORO O 430 Chapter I  Chapter II	2 3-31-97	<b>LIFE CYCLE FACILITY OPERATIONS</b> Life Cycle Asset Management  In-House Energy Management	9-30-96  6-14-96	
ORO 450 Chapter III		<b>PROTECTION OF THE PUBLIC AND ENVIRONMENT</b> Cultural Resources Management Program	9-30-96	

<b>ORO Directives</b> <b>ORO Directives can be found at the following Internet address:</b> <a href="http://www.ornl.gov/doe_oro_dmg/index.htm">http://www.ornl.gov/doe_oro_dmg/index.htm</a>				
<b>Required Compliance</b>	<b>Through Change</b>	<b>Title</b>	<b>Date</b>	<b>Note</b>
ORO O 470 Chapter I Chapter V Chapter VI Chapter VII  Chapter VIII  Chapter IX Chapter XI  Chapter XII	   1 7-23-98  1 9-28-98    1 7-22-98	<b>SAFEGUARDS AND SECURITY</b> Safety and Security Program Identification of Classified Information Personnel Security Activities Protection and Control of Safeguards and Security interests  Protective Force Program  Control and Accountability of Nuclear Materials Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities Counterintelligence (CI) Program	 9-30-96 9-30-96 9-30-96 9-30-96  5-15-96  5-15-96  9-30-96 5-15-96	
ORO N 471.2  N 471.2	  1 4-10-98	<b>TECHNICAL SURVEILLANCE COUNTERMEASURES (TSCM) PROGRAM</b> Technical Surveillance Countermeasures (TSCM) Program - Use of Telephone Lineman-type Handsets or Items Similar in Purpose, Use, or Effect on DOE-owned or Leased Property	 3-5-96	
ORO O 560 Chapter I	 1 8-27-98	<b>TELECOMMUNICATIONS AND DATA SYSTEMS</b> Unclassified Computer Security Program	5-15-96	
ORIG 4300.2B		Non-DOE Funded Work  Compliance: Implementation will be in accordance with MMES letter dated 3-5-93	12-23-92	

**\*Notes**

(1) This document is not directly applicable to the contractor; it is included in the list of applicable documents because the contractor must provide certain information or input to DOE in order for DOE to comply with requirements specified in the document.

(2) This document is not directly applicable to the Contractor; however, it is included in this list of applicable documents because an associated document in the same series is applicable (e.g., because a DOE order is applicable, the OR order or ORIG is made applicable) or because the policies listed in the order are part of the contractor's good business practices.

<b>Other Applicable Directives</b> <b>Work Smart Standards (WSS) and Standards/Requirements Identification Documents (S/RIDs)</b> <b>can be found at the following Internet address:</b> <a href="http://x10capserv.ornl.gov/htmldocs/x-10/ons/onsca.htm">http://x10capserv.ornl.gov/htmldocs/x-10/ons/onsca.htm</a>				
<b>Required Compliance</b>	<b>Through Change</b>	<b>Title</b>	<b>Date</b>	<b>Note</b>
WSS		Other Industrial, Radiological, and Non-Radiological Hazard Facilities	7-25-96	



<p style="text-align: center;"><b>Other Applicable Directives</b>  <b>Work Smart Standards (WSS) and Standards/Requirements Identification Documents (S/RIDs)</b>  <b>can be found at the following Internet address:</b>  <a href="http://x10capserv.ornl.gov/htmldocs/x-10/ons/onsca.htm">http://x10capserv.ornl.gov/htmldocs/x-10/ons/onsca.htm</a></p>				
<b>Required Compliance</b>	<b>Through Change</b>	<b>Title</b>	<b>Date</b>	<b>Note</b>
WSS		Radiochemical Research Facilities, Bldgs 2026 and 5505	9-30-96	
WSS		The Five Accelerator Facilities	9-30-96	
WSS		Radiochemical Technology Facilities, Bldgs 3027 and 3047	12-17-96	
WSS		Radiochemical Engineering Development Center, Bldgs 7920, 7930, and Support Areas	12-17-96	
WSS		Radiochemical Development Facility, Bldg 3019 and its Ancillary Bldgs	5-7-97	
WSS		Irradiated Materials Examination and Testing Facility and Irradiated Fuels Examination Laboratory, Bldgs 3025E, 3525, and Support Areas	5-7-97	
WSS		Construction and Construction-Like Activities	5-7-97	
WSS		Hazardous Waste Operations Facilities, Bldgs 0964, 7507, 7507W, 7651, 7652, 7653, 7654, 7659, 7667, 7668, 7810A, 7823, and 7830A	9-3-97	
WSS		Waste Management and Remedial Action Division Radiological and Industrial Facilities	12-5-97	
		Waste Management and Remedial Action Division Nuclear Category 2 and 3 Facilities	12-5-97	
WSS		Engineering Design for Standard Industrial, Radiological, Non-Reactor Category 2 and 3 Nuclear and Accelerator Facilities	4-14-98	
WSS		HFIR	9-10-98	
S/RID	1	Occurrence Reporting	11-20-97	
S/RID		Emergency Management	11-5-96	

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**APPENDIX F**  
**SPECIAL FINANCIAL INSTITUTION ACCOUNT AGREEMENT**

(The Special Financial Institution Account Agreement required by the clause in Section I entitled, "Payments and Advances," will be added after contract award.)

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**APPENDIX G**  
**CORPORATE CITIZENSHIP**

Attached to this Appendix G is the Corporate Citizenship Offer contained in the Contractor's proposal, dated August 2, 1999.

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